

UNITED STATES DISTRICT COURT

Southern

District of

New York

UNITED STATES OF AMERICA
v.AUX CAYES FINTECH CO, LTD. d/b/a OKEx,
d/b/a OKX**JUDGMENT IN A CRIMINAL CASE**
(For Organizational Defendants)

CASE NUMBER: 25-cr-00069-KPF

David Meister, Esq. and Chad Silverman, Esq.
Defendant Organization's Attorney**THE DEFENDANT ORGANIZATION:** pleaded guilty to count(s) One pleaded nolo contendere to count(s) _____ which was accepted by the court. was found guilty on count(s) _____ after a plea of not guilty.

The organizational defendant is adjudicated guilty of these offenses:

| <u>Title & Section</u> | <u>Nature of Offense</u> | <u>Offense Ended</u> | <u>Count</u> |
|----------------------------|--|----------------------|--------------|
| 18 U.S.C. §1960 | Operation of an Unlicensed Money Transmitting Business | 1/31/2024 | One |

The defendant organization is sentenced as provided in pages 2 through 3 of this judgment. The defendant organization has been found not guilty on count(s) _____ Count(s) no open counts is are dismissed on the motion of the United States.

It is ordered that the defendant organization must notify the United States attorney for this district within 30 days of any change of name, principal business address, or mailing address until all fines, restitution, costs, and special assessments imposed by this judgment are fully paid. If ordered to pay restitution, the defendant organization must notify the court and United States attorney of material changes in economic circumstances.

Defendant Organization's
Federal Employer I.D. No.: n/a2/24/2025

Date of Imposition of Judgment

Signature of Judge

Honorable Katherine Polk Failla, U.S. District Court

Name of Judge

Title of Judge

3/3/2025

Date

Defendant Organization's Mailing Address:

Aux Cayes Fintech Co. Ltd
Suite 202, 2nd Floor, Eden Plaza,
Eden Island, Victoria, Mahe,
Seychelles

DEFENDANT ORGANIZATION: AUX CAYES FINTECH CO, LTD. d/b/a OKEx, c Judgment — Page 2 of 3
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CRIMINAL MONETARY PENALTIES

The defendant organization must pay the following total criminal monetary penalties under the schedule of payments on Sheet 4.

| | <u>Assessment</u> | <u>Fine</u> | <u>Restitution</u> |
|---------------|-------------------|------------------|--------------------|
| TOTALS | \$ 400.00 | \$ 84,457,629.00 | \$ |

- The determination of restitution is deferred until _____. An *Amended Judgment in a Criminal Case* (AO 245C) will be entered after such determination.
- The defendant organization shall make restitution (including community restitution) to the following payees in the amount listed below.

If the defendant organization makes a partial payment, each payee shall receive an approximately proportioned payment, unless specified otherwise in the priority order or percentage payment column below. However, pursuant to 18 U.S.C. § 3664(i), all nonfederal victims must be paid before the United States is paid.

| <u>Name of Payee</u> | <u>Total Loss*</u> | <u>Restitution Ordered</u> | <u>Priority or Percentage</u> |
|----------------------|--------------------|----------------------------|-------------------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| TOTALS | \$ 0.00 | \$ 0.00 | \$ 0.00 |

- Restitution amount ordered pursuant to plea agreement \$ _____
- The defendant organization shall pay interest on restitution or a fine of more than \$2,500, unless the restitution or fine is paid in full before the fifteenth day after the date of the judgment, pursuant to 18 U.S.C. § 3612(f). All of the payment options on Sheet 4 may be subject to penalties for delinquency and default, pursuant to 18 U.S.C. § 3612(g).
- The court determined that the defendant organization does not have the ability to pay interest, and it is ordered that:
 - the interest requirement is waived for the fine restitution.
 - the interest requirement for the fine restitution is modified as follows:

* Findings for the total amount of losses are required under Chapters 109A, 110, 110A, and 113A of Title 18 for offenses committed on or after September 13, 1994, but before April 23, 1996.

DEFENDANT ORGANIZATION: AUX CAYES FINTECH CO, LTD. d/b/a OKEx, (c)
CASE NUMBER: 25-cr-00069-KPF

SCHEDULE OF PAYMENTS

Having assessed the organization's ability to pay, payment of the total criminal monetary penalties are due as follows:

A Lump sum payment of \$ 400.00 due immediately, balance due

not later than _____, or
 in accordance with C or D below; or

B Payment to begin immediately (may be combined with C or D below); or

C Payment in _____ (e.g., equal, weekly, monthly, quarterly) installments of \$ _____ over a period of _____ (e.g., months or years), to commence _____ (e.g., 30 or 60 days) after the date of this judgment; or

D Special instructions regarding the payment of criminal monetary penalties:

Defendant shall make the Criminal Fine Payment by wire transfer pursuant to instructions provided by the Office as follows: (1) no later than ten (10) business days after the Defendant's sentencing, payment of \$17,000,000; (2) no later than thirty (30) days after the Defendant's sentencing, payment of \$23,000,000; and (3) payment of the remaining amount of the Criminal Fine Payment within sixty (60) days after Defendant's sentencing. Defendant shall pay the Criminal Forfeiture Payment by wire transfer pursuant to instructions provided by the Office as follows: (1) no later than ten (10) business days after entry of the Money Judgment, payment of \$84,000,000; (2) no later than thirty (30) days after entry of the Money Judgment, payment of \$179,000,000; and (3) payment of the remaining amount of the Criminal Forfeiture Payment within sixty (60) days after entry of the Money Judgment; Defendant shall pay the entirety of the Criminal Fine Payment, Money Judgment, and mandatory special assessment in United States currency (i.e., United States fiat currency).

All criminal monetary penalties are made to the clerk of the court.

The defendant organization shall receive credit for all payments previously made toward any criminal monetary penalties imposed.

Joint and Several

Defendant and Co-Defendant Names and Case Numbers (including defendant number), Total Amount, Joint and Several Amount, and corresponding payee, if appropriate.

The defendant organization shall pay the cost of prosecution.

The defendant organization shall pay the following court cost(s):

The defendant organization shall forfeit the defendant organization's interest in the following property to the United States:
\$420,353,574 (See Consent Preliminary Order of Forfeiture/Money Judgment dated 2/24/2025)

Payments shall be applied in the following order: (1) assessment, (2) restitution principal, (3) restitution interest, (4) fine principal, (5) fine interest, (6) community restitution, (7) penalties, and (8) costs, including cost of prosecution and court costs.